TECH CENTER 1600/2900

Please type a plus sign (+) inside this box —> +

PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

# TRANSMITTAL **FORM**

(To be used for all correspondence after initial filing)

53	asporte to a collection of information unless it displays a valid OMB control number.						
	Application Number	09/648,816					
,	Filing Date	08/25/00					
	First Named Inventor	Michael R. Yeaman					
	Group Art Unit	1354					
	Examiner Name						
	Attorney Docket No.	660081.415C1					

	E	NCLOSURES (check all that a	oply)					
	Fee Transmittal Form  Fee Attached Amendment/Response  After Final  Affidavits/declaration(s) Extension of Time Request Express Abandonment Request Information Disclosure Statement; Form PTO-1449 Cited References Certified Copy of Priority Document(s) Response to Missing Parts under 37 C.F.R. 1.52 or 1.53 Response to Missing Parts/Incomplete Application	Assignment Papers (for an Application) Drawing(s) Request for Corrected Filing Receipt Licensing-related Papers Petition Petition to Convert to a Provisional Application Power of Attorney, Revocation, Change of Correspondence Address Declaration Statement under 37 CFR 3.73(b) Terminal Disclaimer Small Entity Statement Request for Refund	CD(s), Number of CD(s)  After Allowance Communication to Group Appeal Communication to Board of Appeals and Interferences Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) Proprietary Information Status Letter Return Receipt Postcard Additional Enclosure(s) (please identify below): Copy of Updated Filing Receipt (corrected)					
Re	marks							
SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT								
Ind	ividual Name   Jeffrey C. Pepe		00500 PATENT TRADEMARK OFFICE					

	1-101						
	CERTIFICATE OF MAILING						
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents Washington, D.C. 20231 on the date specified below.							
Typed or printed name	Linda-M. Povinelli						
Signature	Date: Fine 5, 2001						
183206 (12/19/00)							

Signature

Date

**PATENT** 

I hereby certify that on the date specified below, this correspondence is being deposited with the United States Postal Service as first-class mail in an envelope addressed to the Commissioner for Patents, Office of Initial Patent Examination, Customer, Service Center, Washington, DC 20231.

June 5, 2001

Date

Linda M. Povinelli

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

RECEIVED

**Applicants** 

Michael R. Yeaman et al.

SEP 1 7 2001

Application No.

09/648,816

Filed

August 25, 2000

TECH CENTER 1600/2900

For

ANTIMICROBIAL PEPTIDES AND DERIVED METAPEPTIDES

Art Unit

1354

Docket No.

660081.415C1

Date

June 5, 2001

Commissioner for Patents Office of Initial Patent Examination Customer Service Center Washington, DC 20231

## REQUEST FOR CORRECTED FILING RECEIPT

## Commissioner for Patents:

Attached is a copy of the official Filing Receipt received from the PTO in the above-identified application, for which issuance of a corrected Filing Receipt is respectfully requested. Please correct the following errors.

In Applicant(s) data, please correct the first inventor's name, which should read MICHAEL R. YEAMAN.

In Continuing Data as Claimed by Applicant data, please insert the following:

APPLN IS A CIP OF 09/622,561 08/18/00

WHICH IS A NATIONAL STAGE OF PCT/US99/03350 02/17/99

WHICH CLAIMS PRIORITY TO 09/025,319 02/18/98 ABN

The corrections to be made have also been marked in red on the copy of the enclosed filing receipt.

The corrections are not due to any error by applicants and no fee is due.

00500

PATENT TRADEMARK OFFICE

Respectfully submitted,

Seed Intellectual Property Law Group PLLC

Jeffrey C. Pepe, Ph.D.

Registration No. 46,985

JCP:lmp

701 Fifth Avenue, Suite 6300 Seattle, Washington 98104-7092

Phone: (206) 622-4900 Fax: (206) 682-6031

183082

KAIN



## UNITED STATES PATENT AND TRADEMARK OFFICE

1653

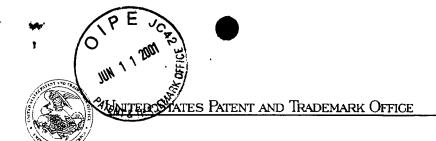
COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 2023I
www.uspto.gov



FILE COPY

**CONFIRMATION NO. 6324** 

CID Data Circci	Dib Data Griect									
<b>SERIAL NUMBER</b> 09/648,816		FILING DATE 08/25/2000 RULE	CLASS GR XXX		GRO	GROUP ART UNIT 2899			ATTORNEY DOCKET NO. 660081.415C1	
APPLICANTS			·			-				
	Michael R. Yeaman, Torrance, CA; Alexander J. Shen, Torrance, CA;									
** CONTINUING	3 DAT	A ***********	**				RF	$\sim$	EIVED	
THIS APF	THIS APPLICATION IS A CIP OF 09/622,561 10/06/2000						I Lhenn	. •		
WHICH IS A 371 OF PCT/US99/03350 02/17/1999 WHICH IS A CIP OF 09/025,319 02/18/1998 ABN				/1999	SEP 1 7 2001				1 7 2001	
** FOREIGN APPLICATIONS ***************						TECH CENTER 1600/2900				
IF REQUIRED, FOREIGN FILING LICENSE  GRANTED ** 10/06/2000 ** SMALL ENTITY **										
Foreign Priority claim		yes no		OTATE OR	2115					
35 USC 119 (a-d) con met	iditions	yes no Met afte	er	STATE OR COUNTRY		EETS WING	TOTA CLAIN		INDEPENDENT CLAIMS	
Verified and		Allowance		CA		25	66	13	16	
Acknowledged ADDRESS	Exam	niner's Signature Initi	ials							
David D McMast	ore.									
		erty Law Group PLLC								
701 Fifth Avenue	)	orly Law Cloup / LLC								
Suite 6300										
Seattle ,WA 981	04-709	92								
TITLE										
Antimicrobial per	otides a	and derived metapeption	des							
						All Fees				
						1.16 Fees ( Filing )				
FILING FEE I		edit DEF	ren in Paper dit DEPOSIT ACCOUN		1.17 Fees ( Processing Ext. of time )					
1354	No for following:					1.18 Fees ( Issue )				
							Other			
					ĺ	☐ Credit				



SEED INTELLECTUAL PROPERTY LAW GROUP PLLC

COMMISSIONER FOR PATENTS

UNITED STATES PATENT AND TRADEMARK OFFICE WASHINGTON, D.C. 20231

www.uspto.gov

APPLICATION NUMBER FILING DATE GRP ART UNIT FIL FEE REC'D ATTY DOCKET NO **DRAWINGS** TOT CLAIMS IND CLAIMS 09/648,816 08/25/2000 1653 1354 660081.415C1 66 16

David D McMasters Seed Intellectuall Property Law Group PLLC 701 Fifth Avenue **Suite 6300** Seattle, WA 98104-7092

FILING RECEIPT

RECEIVE

SFP 1 7 2001

TECH CENTER 1600/2900

Date Mailed: 01/31/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the PTO processes the reply to the Notice, the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Michael R. <del>Yea¥man</del>, Torrance, CA; Alexander J. Shen, Torrance, CA;

YEAMAN

**Continuing Data as Claimed by Applicant** 

Application is a CIP of 09/622,581 Filed 08/18/00 which is a 371 conversion of PCT/US99/03350 filed 02/17/99 which dams priority to 09/025, 319 filed 02/18/98

If Required, Foreign Filing License Granted 10/06/2000

\*\* SMALL ENTITY \*\*

**Foreign Applications** 

Title

Antimicrobial peptides and derived metapeptides

**Preliminary Class** 

514

Data entry by : MASON, JAMES

Team: OIPE

Date: 01/31/2001



# LICENSE FOR FOREIGN FILING UNDER Title 35, United States Code, Section 184 tle 37, Code of Federal Regulations, 5.11 & 5.15

RECEIVED

SEP 1 7 2001

TECH CENTER 1600/2900

## **GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CRF 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 36 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

#### **NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15 (b).

# PLEASE NOTE the following information about the Filing Receipt:

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 600 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."
- The title is recorded in sentence case.

Any corrections that may need to be done to your Filing Receipt should be directed to:

Assistant Commissioner for Patents Office of Initial Patent Examination Customer Service Center Washington, DC 20231